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PATENT  
72162-243315

#3  
I.D.S.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: )  
ASHOK K. AGARWAL )  
Serial No: 09/974,637 )  
Filed: October 9, 2001 )  
For: COMPOSITE NANOFILTRATION AND )  
REVERSE OSMOSIS MEMBRANES AND METHOD) )  
FOR PRODUCING THE SAME )

Art Unit:  
Examiner:

RECEIVED  
JUN 17 2003  
TC 1700

TRANSMITTAL OF INFORMATION  
DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sirs:

1. ☒ The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b).
2. ☐ The information disclosure statement transmitted herewith is being filed *after* three months of the filing date of this national application or the date of entry of the national stage as set forth in §1.491 in an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but *before* the mailing date of either:
  - (1) a final action under §1.113 or
  - (2) a notice of allowance under §1.311, whichever occurs first.

**CERTIFICATION OR FEE**

A. Included with this transmittal is

- i. ☐ a certification (set forth below) in accordance with 37 C.F.R. §1.97(e). (If for any reason the certificate set forth below should be unsatisfactory, the Commissioner is provisionally authorized to charge the \$180 fee (37 C.F.R. §1.17(p)) to Deposit Account No. 16-1805. A copy of this sheet is enclosed.)

OR

- ii. ☐ the attached fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under §1.97(c). (\$180.00).

3. ☐ The information disclosure statement transmitted herewith is being filed *after* a final action under §1.113 or a notice of allowance under §1.311, whichever occurs first, but before, or simultaneously with the payment of the issue fee.

**CERTIFICATION, PETITION AND FEE**

- A. In accordance with the requirements of 37 C.F.R. §1.97(d):
- i. Set forth below is a certification as specified in 37 C.F.R. §1.97(e).
  - ii. Applicant hereby petitions for the consideration of the accompanying information disclosure statement. 37 C.F.R. §1.97(d)(ii).
  - iii. Applicant submits the petition fee set forth in §1.17(i)(1). (\$180.00).

**CERTIFICATION**

(Required if 2Ai or 3 above is marked)

4. I, the person signing below, certify

- ☐ that each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and that the communication is dated not more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(1).

**OR**

- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(2).

5. ☒ If it should be determined that for any reason either an insufficient fee or an excessive has been paid, please charge any insufficiency or credit any overpayment necessary to ensure consideration of the information disclosure statement for the above-identified application to Deposit Account No. 16-1805. A copy of this petition is enclosed.

Respectfully submitted,

PILLSBURY WINTHROP LLP

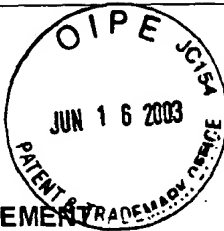
Date: June 11, 2003

By: 

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FORM PTO-1449 (modified)  
To: U.S. Department of Commerce  
(PW FORM PAT-1449)  
Patent and Trademark Office



Atty. Dkt. No.	M#	Client Ref.
	243315	72162

**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT**

Applicant: ASHOK K. AGARWAL

Appln. No.: 09/974,637

Filing Date: October 9, 2001

Date: June 11, 2003

Page 1 of 1

Examiner: Group Art Unit:

**U.S. PATENT DOCUMENTS**

Examiner's Initials*	Document Number	Date MM/YYYY	Name (Family Name of First Inventor)	Class	Sub- Class	Filing Date (if appropriate)
	AR 4,772,394	09/20/88	Swedo et al.			
	BR 4,830,885	05/16/89	Tran et al.			
	CR 4,885,091	12/05/89	Swedo et al.			
	DR 5,693,227	12/02/97	Costa			
	ER					
	FR					
	GR					
	HR					
	IR					
	JR					
	KR					
	LR					
	MR					
	NR					

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**FOREIGN PATENT DOCUMENTS**

		Document Number	Date MM/YYYY	Country	Inventor Name		Abstract		Readily Available	
							Enclosed	No	Enclose	No
	OR									
	PR									
	QR									
	RR									
	SR									
	TR									
	UR									
	VR									
	WR									
	XR									

**OTHER (Including in this order Author, Title, Periodical Name, Date, Pertinent Pages, etc.)**

	YR	
	ZR	
	AAR	
	BBR	
	CCR	
	DDR	

Examiner

Date Considered:

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.